

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 2-2005)

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

14399-1US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

To be assigned

10/547530INTERNATIONAL APPLICATION NO.
PCT/US04/07434INTERNATIONAL FILING DATE
10 March 2004PRIORITY DATE CLAIMED
10 March 2003

TITLE OF INVENTION

VAULT AND VAULT-LIKE CARRIER MOLECULES

APPLICANT(S) FOR DO/EO/US

ROME, Leonard H. et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

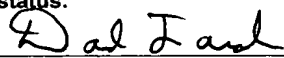
1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 35 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

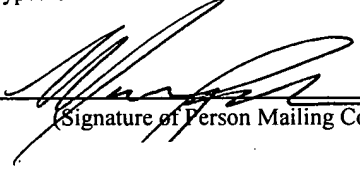
Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 629341183 US
23. ☒ Other items or information:

Copy of Published International Patent Application No. WO 2004/081533 A3; Statement in Accordance with 37 CFR 1.821(c) and (e);
Statement Under 37 CFR 3.73(b); Return Receipt Postcard

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
To be assigned 10/547530		PCT/US04/07434		14399-1US	
The following fees are submitted:				CALCULATIONS	PTO USE
24. <input checked="" type="checkbox"/> Basic national fee		\$300		\$	\$300.00
25. <input checked="" type="checkbox"/> Examination fee					
If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4).		\$100		\$	\$200.00
All other situations.		\$200			
26. <input checked="" type="checkbox"/> Search fee					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority		\$100			
International Search Report prepared and provided to the Office		\$400		\$	\$400.00
All other situations.		\$500			
TOTAL OF 24, 25 and 26 =				\$	\$900.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
29 - 100 =	0 /50 =	0	x \$250.00	\$	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	66 - 20 =	46	x \$50.00	\$	\$2,300.00
Independent claims	8 - 3 =	5	x \$200.00	\$	\$1,000.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$	\$4,200.00
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$2,100.00
SUBTOTAL =				\$	\$2,100.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
TOTAL NATIONAL FEE =				\$	\$2,100.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
TOTAL FEES ENCLOSED =				\$	\$2,100.00
				Amount to be	\$
				Amount to be	\$
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.					
b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>19-2090</u> in the amount of <u>\$2,100.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-2090</u> . A duplicate copy of this sheet is enclosed.					
d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.					
SEND ALL CORRESPONDENCE TO:					
 SIGNATURE David A. Farah, M.D. NAME 38,134 REGISTRATION NUMBER					

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)		Docket No. 10/547530
371 of International Application No. PCT/US04/07434	International Filing Date 10 March 2004	Priority Date Claimed 10 March 2003
Application No. To be assigned		Filing Date 31 August 2004
Inventor/Applicant(s): ROME, Leonard H.; KICKHOEFER, Valerie A; RAVAL-FERNANDES, Sujna; and STEWART, Phoebe L.		
Invention: VAULT AND VAULT-LIKE CARRIER MOLECULES		
<p>I hereby certify that the following correspondence:</p> <ol style="list-style-type: none"> 1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (Small Entity) (2 pages) 2. Preliminary Amendment (3 pages) 3. Combined Declaration and Power of Attorney by Applicants/Inventors Leonard H. ROME, Valerie A. KICKHOEFER, Sujna RAVAL-FERNANDES and Phoebe L. STEWART (4 pages) 4. Power of Attorney by Assignee THE REGENTS OF THE UNIVERSITY OF CALIFORNIA (2 pages) 5. Statement Under 37 CFR 3.73(b) 6. Sequence Listing (429 pages) in Computer Readable Form (1 diskette) 7. Statement in Accordance with 37 CFR 1.821(c) and (e) (1 page) 8. Copy of International Search Report (4 pages) 9. Copy of Published International Application No. WO 2004/081533 A2 10. Copy of Written Opinion of International Searching Authority (4 pages) 11. Copy of Request for Rectification Under Rule 91.1(d) incl. Substitute Sheet 27 12. Acknowledgment of Receipt Postcard <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450</p> <p>on: <u>AUGUST 31, 2005</u> (Date)</p>		
<p style="text-align: right;">Marilyn Paik (Typed or Printed Name of Person Mailing Paper or Fee)</p>		
<p style="text-align: center;">  (Signature of Person Mailing Correspondence) </p>		
<p style="text-align: center;">EV629341183US (“Express Mail” Mailing Label No. EV 629341183 US)</p>		